

INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Not for submission under 37 CFR 1.99)	Application Number		09801848
	Filing Date		2001-03-08
	First Named Inventor	Keith	
	Art Unit	3693	
	Examiner Name	Kenneth Bartley	
	Attorney Docket Number	125462	

U.S.PATENTS							Remove
Examiner Initial*	Cite No	Patent Number	Kind Code ¹	Issue Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear	
	1	4920485	A	1990-04-24	Vahidsafa		
	2	5404551	A	1995-04-04	Katsuno		
	3	5535393	A	1996-07-09	Reeve		
	4	6381692	B1	2002-04-30	Martin		
	5	6405180	B2	2002-06-11	Tilfors		
	6	6968318	B1	2005-11-22	Ferstenberg		
If you wish to add additional U.S. Patent citation information please click the Add button.							Add
U.S.PATENT APPLICATION PUBLICATIONS							Remove
Examiner Initial*	Cite No	Publication Number	Kind Code ¹	Publication Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear	

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**
(Not for submission under 37 CFR 1.99)

Application Number	09801848
Filing Date	2001-03-08
First Named Inventor	Keith
Art Unit	3693
Examiner Name	Kenneth Bartley
Attorney Docket Number	125462

1	20020161687	A1	2002-10-31	Serkin	
2	20030093343	A1	2003-05-15	Huttenlocher	
3	20090083175	A1	2009-03-26	Cushing	

If you wish to add additional U.S. Published Application citation information please click the Add button. [Add](#)

FOREIGN PATENT DOCUMENTS

[Remove](#)

Examiner Initial*	Cite No	Foreign Document Number ³	Country Code ²	Kind Code ⁴	Publication Date	Name of Patentee or Applicant of cited Document	Pages, Columns, Lines where Relevant Passages or Relevant Figures Appear	T ⁵
	1							<input type="checkbox"/>

If you wish to add additional Foreign Patent Document citation information please click the Add button. [Add](#)

NON-PATENT LITERATURE DOCUMENTS

[Remove](#)

Examiner Initials*	Cite No	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc), date, pages(s), volume-issue number(s), publisher, city and/or country where published.	T ⁵
	1	BUCKLEY, C., Industrial Editor, "Eastern Poised to Sell Power Stations," The Times (London), April 10, 2000, p. 22.	<input type="checkbox"/>
	2	CHANJAROEN, C., "Thai Exchange to Alter Timing of Index Close," The Asian Wall Street Journal, June 25, 1999, <http://proquest.umi.com.pqdweb?index=2&did=42650676&SrchMode=1&sid=1&Fmt=3&V...> [retrieved October 1, 2008], 2 pages.	<input type="checkbox"/>
	3	KARANDE, K., "MiFi D Best Execution Benchmark," a discussion based on "The Process of Achieving Best Execution, Investment Guides: Transaction Performance, the Changing Face of Trading," Euromoney, Institutional Investor PLC, March 2002, pp. 1-15.	<input type="checkbox"/>

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**
(Not for submission under 37 CFR 1.99)

Application Number		09801848
Filing Date		2001-03-08
First Named Inventor	Keith	
Art Unit	3693	
Examiner Name	Kenneth Bartley	
Attorney Docket Number	125462	

4	PR Newswire, "TIS Worldwide Builds Stock Market Game for Securities Industry Foundation for Economic Education," New York, April 3, 2000, <http://proquest.umi.com/pqdweb?index=0&did=57225218&SrchMode=1&sid=2&Fmt=3&V . . . > [retrieved June 22, 2008], 3 pages.	<input type="checkbox"/>
---	---	--------------------------

If you wish to add additional non-patent literature document citation information please click the Add button **Add**

EXAMINER SIGNATURE

Examiner Signature	/Kenneth Bartley/	Date Considered	12/15/2009
--------------------	-------------------	-----------------	------------

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through a citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ See Kind Codes of USPTO Patent Documents at www.USPTO.GOV or MPEP 901.04. ² Enter office that issued the document, by the two-letter code (WIPO Standard ST.3). ³ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁴ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. ⁵ Applicant is to place a check mark here if English language translation is attached.